

EXAMPLES OF RISK EVALUATION

RISK ASSESSMENT FORM

AGENCY INFORMATION SUMMARY

Subrecipient Name _____
Federal ID# _____
Street Address _____
City, State, Zip _____
Telephone Number _____
Contact Person _____

List Each State Department That the Agency contracts with, Type Program(s), Contract Amount:

<u>State Agency</u>	<u>Program</u>	<u>Grant/Contract Amount</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

RESULT OF RISK ASSESSMENT

Evaluation Score Key:	TOTAL OVERALL SCORE _____
Low Risk = < 25	(From Page 2)
Moderate Risk = 26 - 34	
High Risk = 35 - 48	

<u>RISK ASSESSMENT</u>	High _____
	Medium _____
	Low _____

Type of Review to Be Conducted:	Fiscal _____	Both _____
	Program _____	No Review _____

Risk Assessment Performed by: _____

Date _____

RISK ASSESSMENT FORM

Size of staff for period being monitored:

Small (1-6)	= 1
Moderate (7-12)	= 2
Large (13 or more)	= 3

TOTAL

Staff qualifications for funded programs:

Trained staff in key positions with one or more years experience	= 2
At least half of staff trained in key positions and some experience.	= 4
Staff in key positions have little or no training or experience.	= 6

TOTAL

Staff turnover:

No change in key positions	= 2
Either new or no staff in 1 or more key positions	= 4
Either new or no agency administrator or fiscal officer	= 6

TOTAL

Program:

Agency has met program objectives outlined in contract/funding agreement	= 2
First year of funding for program (no basis for evaluation)	= 4
Program compliance history of past 2yrs include weakness in fulfilling objectives.	= 6

TOTAL

Fiscal:

No significant audit findings for past 2 years	= 2
Minor audit findings with pending corrective actions	= 4
Significant audit findings w/in past 2yrs or audit findings not resolved.	= 6

TOTAL

Reporting:

Program and fiscal reports are almost always submitted timely and accurately.	= 2
Routine reports are frequently late and contain errors.	= 4
Routine report are not submitted or contain significant discrepancies.	= 6

TOTAL

Complexity of Funding:

Funding is relatively simple in terms of allowable expenditures	= 2
Funding is moderately complex in terms of allowable expenditures (i.e. IV-B)	= 4
Funding is very complex in terms of allowable expenditures (i.e.TANF, IV-E)	= 6

TOTAL

Amount of Funding to Provider:

Less than \$25,000	= 2
\$25,000 - \$299,999	= 4
\$300,000 or more	= 6

TOTAL

Self Assessment:

Self assessment shows few or no internal control weaknesses	= 1
Self assessment shows several internal control weaknesses	= 2
Self assessment shows major internal control weaknesses	= 3

TOTAL

TOTAL OVERALL SCORE: